Approved for use through 09/30/2007. OMB 0651-0031 U.S. Patent and Tredemark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

Sheet 1

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number 10/574,414

Filing Date 03/22/2007

First Named Inventor Simon William BARKER

Art Unit Examiner Name

Attorney Docket Number 76773 CCD

U. S. PATENT DOCUMENTS Byaminer Name of Patentee or Cite Document Number Pages, Columns, Unes, Where MM-DD-YYYY Applicant of Cited Document Relevant Passages or Relevant Figures Appear Number-Kind Code² (# known) /KL/ ^{US-} 6,120,621 09-19-2000 Jin et al. US- 2003/000679 A1 01-02-2003 Strezov et al. US- 2002/124990 A1 09-12-2002 Nikolovaki et al. /KL ^{US-} 5,515,908 05-14-1996 Harrington ^{US-} 3,345,738 10-10-1967 Mizikar et al. US-US-US-US-US. US US-US TIS US-US-

		FORE	IGN PATENT DOCL	IMENTS		
Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
		Country Code ³ "Number ⁴ "Kind Code ⁸ (if known)	MM-DD-YYYY		Or Relevant Figures Appear	™
/KL/		EP1100638 B1	04-21-2004	BHP Steel JLA		Г
/KL/		JP 02-179343 A	07-12-1990	NISSHIN STEEL		Г
/KL/		EP 0732163 A2	09-18-1996	BHP Steel JLA		Г
/KL/		EP 0670757 B1	08-18-1999	BHP Steel JLA		
/KL/		EP 0874703 A1	11-04-1998	Kaiser A tuminum		Г
/KL/		EP 0583867 A1	02-23-1994	Kaiser Aluminum	•	

1	Examiner	/Kuang Lin/	Date	44/40/0007
ı	Signature	Muany Lin	Considered	I 11/16/2007

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Senter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Mind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will very depending upon the individual case. Any comments on the amount of time you require to complete this form end/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450.

TO: Commissioner for Patents, P.O. Box 4450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Complete If Known Substitute for form 1449/PTO **Application Number** 10/574,414 Filing Date 03/22/2007 INFORMATION DISCLOSURE First Named Inventor Simon William BARKER STATEMENT BY APPLICANT Art Unit (Use as many sheets as necessary) **Examiner Name** Attorney Docket Number 76773 CCD Sheet

			U. S. PATENT I		
Examiner Initials*	Cite No.'	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Unes, Where Relevant Passages or Relevant
	<u> </u>	Number-Kind Code ^{2 (# known)}			Figures Appear
		US-			
		US-		,	
··—		US-			,
		US-			
	<u> </u>	US-			
<u></u>	 	US-	·		· · · · · · · · · · · · · · · · · · ·
		US			
		US-			
	 	US-	<u> </u>		
		US-	1		
		US-			
		US	 		
		US-			
		US-			· · · · · · · · · · · · · · · · · · ·
		US-	1		
		US-	 		
		US-	 		
		US-		· · · · · · · · · · · · · · · · · · ·	
		US-	+		
	L		1		

		FOREI	GN PATENT DOCL	MENTS		
Examiner Initials*	Cite No.	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
		Country Code ³ Number ⁴ Kind Code ⁸ (if known)	MM-DD-YYYY		Or Relevant Figures Appear	T ⁶
_/KL/		EP 0094688 A1	11-23-1983	Japan Casting Forging		
	<u> </u>			<u> </u>	<u> </u>	

Examiner	•			Date	
	/Kuana Lin/	•			4414010007
Signature	/Kuang Lin/		i	Considered	1 11/16/2007
	77.00.19				1171072001

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered, include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Wind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

PTO/SB/08B (04-07)

Approved for use through 09/30/2007. OMB 0551-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Complete If Known Substitute for form 1449/PTO Application Number 10/574,414 **Filing Date** INFORMATION DISCLOSURE 03/22/2007 STATEMENT BY APPLICANT First Named Inventor Simon William BARKER Art Unit (Use as many sheets as necessary) **Examiner Name** Attorney Docket Number 76773 CCD Sheet 3

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Τ²
/KL/		European Patent Office, Supplementary European Search Report dated 02-27-2007 in EP 04 78 9690	
		·	
····			

Examiner Date /Kuang Lin/ 11/16/2007 Signature Considered

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English tanguage Translation is attached.

This collection of information is required by 37 CFR 1.88. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, praparing, and submitting the completed application form to the USPTO. Time will vary depending upon the inclividual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08A (07-06)
Approved for use through 09/30/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute	Substitute for form 1449/PTO			Complete if Known			
				Application Number	10/574,414		
INFO	RMATION I	DISCLOS	URF	Filing Date	March 31, 2006		
f –	EMENT BY			First Named Inventor	BARKER, Simon William		
SIAI				Art Unit	u/k		
	SUPPL Use as many she	EMENTAL		Examiner Name	u/k		
Sheet	1	of	2	Attorney Docket Number	76773 CCD		

			U. S. PATENT	DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number Publication Date MM-DD-YYYY		Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant
		Number-Kind Code 2 (d known)			Figures Appear
/KL/		us-4,614,224	09/30/1980	JEFFREY, Paul W. et al.	
		us-6,120,621	09/19/2000	JIN, Iljoon et al.	
		`us-6,470,959 B1	10/29/2002	DESROSIERS, R. et al.	<u> </u>
		us-4,945,974	08/07/1990	HONEYCUTT III, LeRoy	
		us-4,934,443	06/19/1990	HONEYCUTT III, LeRoy et al.	
		us-4,749,027	06/07/1988	ALLYN, Jerome B. et al.	
1/		us-4,793,400	12/27/1988	WOOD, Richard A.	
- V -		us-3,345,738	11/10/1964	MIZIKAR, E.A. et al.	
/KL/		us-4,250,950	02/17/1981	BUXMANN, Kurt et al.	
		US-			
		US-			
		US-			

	FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages		
	·	Country Code ³ -Number ⁴ -Kind Code ^{5 (f known)}	or Relevant Figures	or Relevant Figures Appear	ir T		
/KL/		WO 05/032744 A1	04/14/2005	GALLERNEAULT, Willard M.T. et al.			
						Ī	
					·	Г	
·							
···						Γ	

Examiner Signature	/Kuang Lin/	Date Considered	11/16/2007
<u></u>			·

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901,04. Enter Office that Issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Three will vary depending upon the individual case. Any comments on the amount of time you require to complete this form another suggests for reducing this burdon, including this burdon, include the cent to the Chief information Officer, U.S. Patent and Tradenium Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patanta, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 09/30/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE		Complete if Known		
		Application Number	10/574,414	
		Filing Date	March 31, 2006	
01711			First Named Inventor	BARKER, Simon William
			Art Unit	u/k
	Use as many sheets as ne	cessary)	Examiner Name	u/k .
Sheet	2 of	2	Attorney Docket Number	76773 CCD

			
		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Τ²
/KL/	•	FIELD, Michael, KAHLES, John F., and KOSTER, William P., Surface Finish and Surface Integrity, Metals Handbook, Ninth Edition, Volume 16, 1989, published by ASM International, Metals Park, Ohio, pp. 19-23.	· ·
/KL/		SONG, J.F. and VORBURGER, T.V., Surface Texture, ASM Handbook, Volume 18, 1992, published by ASM International, Metals Park, Ohio, pp 334-345.	
			,

Examiner			Date	
[CXarriiner]	///wanalia/		Date	
l Cimmeture I	/Kuang Lin/	·	C: 2 2	11/16/2007
Signature			Considered	11/10/2007
		· · · · · · · · · · · · · · · · · · ·		

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

IAP20 Rec'd PCT/PTO 31 MAR 2006

PTO/SB/08a (07-05) (TMB 07/2005)
Approved for use through 7/31/2006, OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

11/16/2007

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

SHEET 1 of 1

Complete if Known

Application Number To Be Assigned To Be Assigned

Filing Date Herewith

First Named Inventor Simon William BARKER

Art Unit To Be Assigned

Examiner Name To Be Assigned

Attorney Docket No. NOVE-110US

			U.S. PATE	T DOCUMENTS)		
Examiner Initials*	Cite No.1	Document Number Number - Kind Code ^{2 (If known)}	Publication D		of Patentee or of Cited Document	Pages, Columns, Lines, W Relevant Passages or Rele Figures Appear	
/KL/	US-4934443	Jun. 19, 199	0 Honeycutt				
	1	US-4250950	Feb. 17, 198	31 Buxman			
	 	US-5515908	May 14, 199				
	<u> </u>	US-6135199	Oct. 24, 200		•		
		US-6063215	May 16, 200				
	US-4061177	Dec. 6, 197					
- V		US-4061178	Dec. 6, 197	7 Silvelotti			
/KL/		US-5636681	Jun. 10, 197				
		US-					•
		US-					
		US-					
		US-					
		US-					
	 	US-					
	<u> </u>	US-					
		US-					
		US-					
		US-			`		
		US-					-
	1	US-					
•	1	F	OREIGN PAT	TENT DOCUMEN	ITS		
Examiner Cite Initials* No.1		Foreign Patent Document			Name of Patentee or	Pages, Columns, Unes, Where Relevant	
		Country Code ³ - Number ⁴ - Kind Code ⁵ (If known)		Publication Date (MM-DD-YYYY)	Applicant of Cited Document	Passages or Relevant Figures Appear	76

May 19, 1964

Jun. 4, 1998

France

Date

Considered

Japan

'Applicant's unique citation designation number (optional).

/Kuang Lin/

Fr 1364717

Examiner

Signature

JP 63132751

The collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chlef Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND.TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

²See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04.

³Enter Office that issued the document, by the two-letter code (WIPO Standard St.3).

For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.
⁶Applicant is to place a check mark here if English language translation is attached.